SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person * Lavine Bruce I | | | | | | 2. Issuer Name and Ticker or Trading Symbol <u>WisdomTree Investments, Inc.</u> [WETF] | | | | | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner | | | | | |
|--|--|--|--|-----------------------------------|----------------------|--|---|---|---|------------|--|--|---|----------------------------|--|---|----------|--|--|--|
| (Last) C/O WISDOM | (First) | (First) (Middle) EE INVESTMENTS, INC. | | | | 3. Date of Earliest Transaction (Month/Day/Year) 08/18/2014 | | | | | | | | X | Officer (g below) | ive title Other | | Other (below) | | |
| 245 PARK AVENUE, 35TH FLOOR (Street) | | | | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | | | | | | | | Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person | | | | | |
| NEW YORK | K NY 10167 | | | | | | | | | | | | | | Form file | a by More | e than C | ле керопі | ig Person | |
| (City) | (State) | (Zi | p) | | | | | | | | | | | | | | | | | |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | | | | | | | | | | |
| Date | | | | | nsaction h/Day/Ye | ar) | 2A. Deemed Execution Date, if any (Month/Day/Year) | | 3. Transaction Code (Instr. 8) | | 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 an | | | | 5. Amount of Securities Beneficially Following R Transaction | Owned Or Ind Reported (Instr. | | Direct (D) rect (I) 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | | | | | | Code V | | Amount | | (A) or (D) | Price | (Instr. 3 and | | | | (1130.4) | |
| Common Stock | | | | | | | | | | | | | | 212,165 | | | D | | | |
| Common Stock 08/18 | | | | | 18/2014 | | | | S | | 25,000 | | D | \$10.6 | 25,000 | | | I | By 2012 Bruce Lavine Irrevocable Trust | |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | | | | | | | | | | | | | |
| 1. Title of Derivative Security (Instr. 3) | Conversion Date Execution or Exercise (Month/Day/Year) if any | | 3A. Deemed Execution D if any (Month/Day/ | Date, Transaction Code (Instr. | | | | | 6. Date Exerci Expiration Da (Month/Day/Y | | te Se ear) De | | Title and A curities Ur rivative Se str. 3 and 4 | nderlying ecurity 4) | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s | | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | | Code | le V (A) (D) Date Expiration Date Title | | e | Amount or Number of Shares | (Instr. 4) | | | | | | | | | | |

Explanation of Responses:

/s/ Marci Frankenthaler, Attorney-08/20/2014

in-Fact ** Signature of Reporting Person

Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 * If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

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